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ABSTRACT

The School Based Management Process Development General Model was designed to sequentially outline the factors present in a school system's establishment of school-based management and provide a basis for data analysis. This paper not only describes the model, but applies it in presenting the factors that affect the implementation process of school decentralization. Concepts and constructs that appear in the model are outlined and defined in Exhibit A. Then they are applied to events typically occurring in the developmental stages of implementing school-based (site) management. Four stages or phases representing periods of time for implementation categorize variables within the model. Over 4 years, two Minnesota school districts provided qualitative data generated by case studies, self-report surveys, interviews, observations of site council meetings, and artifacts. Findings revealed that the model provided a reasonable method of cataloging information about program implementation and site-based management. (24 references) (JAM)

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APPLICATION OF THE SCHOOL BASED MANAGEMENT PROCESS DEVELOPMENT GENERAL MODEL

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ABSTRACT

This study describes and applies a process model to catalog and assess the implementation of an innovation in education. The School Based Management Process Development General Model was designed to sequentially outline the factors present in a school system's establishment of school based management, and provide a basis for data analysis.

APPLICATION OF THE SCHOOL BASED MANAGEMENT PROCESS DEVELOPMENT GENERAL MODEL

OBJECTIVES

This paper will present and apply a model describing the factors that affect the implementation process of school decentralization. The School Based Management Process Development Model is designed to outline the developmental process of school based (or site) management and illustrate the factors that influence and affect the implementation process of school decentralization. Concepts and constructs that appear in the model will be outlined and defined, and their usefulness will be related to the events typically occurring in the developmental stages of implementing school based (site) management.

Of particular interest to this research project is the impact that time has on the implementation process. Inherent in the study of process theory is the impact of the timing of the events and event sequencing (Mohr 1982, Abbott, 1984). In fact, time ordering among contributing events is generally considered critical for the outcome (Mohr).

This study and the model from which it is derived is based on theory. As Bacharach (1989) points out, theory is a statement of relations among concepts within a set of boundary assumptions and constraints. The usefulness of theorizing can be attributed

to the purposefulness of process development. However, by using a broad perspective to look for indicators that point to outcomes, one runs the risk of missing the target altogether. Just as a collection of words does not make a sentence, a collection of constructs and variables does not necessarily make a theory (Bacharach 1989). It therefore becomes the task to relate these constructs and variables into sense-making events. The lesson to be learned is that any process must be designed to highlight imagination, relationships, connections, and interdependencies in the phenomenon of interest (Weick, 1989).

The objective of this study, then becomes one of searching out those events or factors that enhance or hinder the process of school decentralization. With this objective in mind, the following propositions are presented:

PROPOSITION 1. The inability of school organizations to move from one developmental stage to another inhibits their ability to adapt change.

PROPOSITION 2. Covert power issues intercede to impede the movement to successive developmental stages of a school organization's realization of organizational restructuring.

PROPOSITION 3. Individuals involved in school organizations, regardless of their hierarchical position, tend to resist change.

PROPOSITION 4. Activities of site councils tend to be observational and discussional rather than advisory and decisional.

PERSPECTIVES AND FRAMEWORK

The process of an organization adopting a structural innovation is likely to cover an indefinite period of time, consume an unanticipated amount of energy and be confronted by unexpected challenges. It is quite possible that during the time period from initial implementation to full scale adaptation, management, agenda or other variables may change, leaving the innovation the target of a number of factors that may tend to shape it into a form quite different from how it was originally conceived. School decentralization programs are not immune from this type of situation.

At its outset, at least in theory, school based (or site) management posed the possibility of being a truly massive attempt to restructure school governance. Early theorists of school based management envisioned a reversal of the governance power structure whereby the traditional top-down approach to management would be replaced by a bottom-up move toward organizational policy setting and decisionmaking. Although advocacy for its implementation has remained strong, and in some situations has even been legislated, the outcomes derived from this movement to

decentralize schools have alluded what the framers intended.

Research attempts at identifying causes for the inability of school decentralization programs to achieve desired outcomes exist, and blame for the program's ineffectiveness is often placed on the lack of financial independence, lack of willingness to release power from the top, or the lack of desire to accept responsibility (Malen Ogawa & Kranz 1989, Mauriel & Jenni 1989, Clune & White 1988, Jenni 1990, David & Peterson 1984). This study will attempt to show that financial, power, or motivational maneuvers within the bureaucracy in and of themselves do not constitute plausible causes for the lack of development of SBM concepts. Rather, it is the intertwining of these factors and events along with numerous others that collectively prevent full adaptation to occur.

The general systems theory provides some grounding to the framework of this study. General systems theory is concerned with the study of systems from a holistic point of view - the idea being that a number of properties exist within each system, and these properties cannot be meaningfully described and analyzed without taking into account the effects the other properties might have on the particular ones being studied (Sagasti and Mitroff 1975). As Pettigrew (1989) argued: "our holistic and multifaceted treatment of change makes certain causal assumptions. Causation is neither linear or singular. There is no attempt to search for the illusionary single grand theory of change, or indeed of how and why a single independent variable

causes, or even impacts on a dependent or outcome variable. Changes have multiple causes and are to be explained more by loops than lines".

In addition to the general systems theory, the idea of grounded theory proposed in the work of Glaser and Strauss (1967), case study research (Yin 1984) and the qualitative research plans presented by Miles and Huberman (1984) provide foundational support to the process of this study. The result of this work on model development has been to construct with a fair degree of confidence, a model that outlines both the developmental stages and the resulting processes and intervening variables commonly occurring during the process of implementing an innovation in educational institutions. Because of the broad spectrum of actor input, including but not limited to perceived ownership, client-consumer relationships, desirable outcomes, goal setting, cultural value systems, history, demographics and personal agendas, this model provides a framework around which expectations, outcomes, and variables can be indexed.

METHODOLOGY AND DATA SOURCE

The first step in designing a model that incorporates the factors and events present in the process of implementing a system of school based management, is to create a conceptual model representing the foundational concepts associated with

process theory (Miles 1982, Segasti and Mitroff 1973, Bacharach 1989, and Whetten 1989). The importance of the conceptual model is that it notates the environment and provides the framework from which a scientific model can emerge.

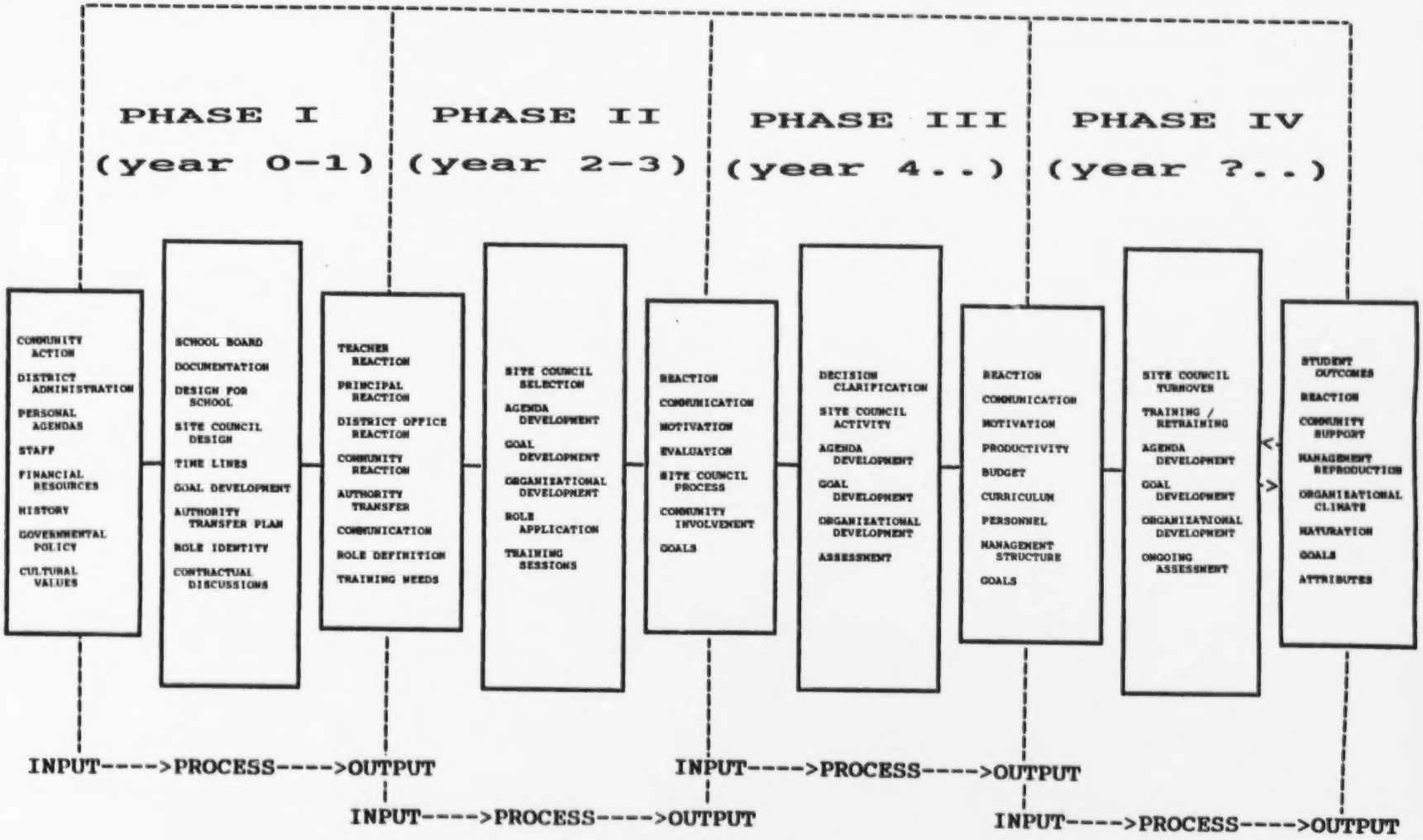
The design of the School Based Management Process Development General Model represents a scientific model derived from a conceptual model, and is fashioned around a three step process where inputs at each stage influence the developmental process which in turn produce outputs which become inputs for the next developmental stage. The four chronological phases this model encompasses are indicative of the implementation process, and do not imply specific periods of time nor are the individual phases specifically terminal. As with most developmental processes, the phases are intermeshed with each other and the model places emphasis on the occurrence and understanding of the constructs within the phases and on the general time of occurrence.

Throughout the model, the items listed as inputs, processes and outputs, represent factors describing events. Five key elements were used to determine the existence of certain factors and to provide a useful methodological framework for assessment. These five elements are <u>people</u>, <u>ideas</u>, <u>transactions</u>, <u>context</u>, and <u>outcomes</u> (Van de Ven, 1988).

See Figure 1 on following page

(see Exhibit A for definitions of event terms)

SBM PROCESS DEVELOPMENT GENERAL MODEL



10

(times are approximate)

11

Figure 1

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Data for this study was gathered from two Minnesota school districts during a four year longitudinal study initially supported by the Minnesota Innovation Research Project (MIRP) to study the implementation of innovation in a variety of organizations. The two school districts that are represented were part of a larger group of schools initially studied as part of the MIRP project. Although the formal structure of the MIRP study was concluded, research on school based management has continued, and is now in its second year beyond the conclusion of the original MIRP study.

The reasons for choosing these two sites is that although they differ significantly in some circumstances, they both attempted to implement SBM on a district wide basis, both experience what seems to be a "fair amount of success" with SBM, both are moderately sized districts representing fairly homogeneous populations, and both experienced top level administrative turnover during the period studied. Differences that need to be mentioned are that the one district is a suburban district, the other a small rural city, one district implemented SBM "across the board" at its beginning, the other on a more gradual school by school basis, and, one district is experiencing fairly rapid population growth while the population of the other is more stable.

The general data for this study comes from annually written case studies, interviews, annotated details of observed site council meetings, and artifacts collected from the sites. Data

also comes from the School Site-Based Management Survey, an instrument developed at the University of Minnesota to measure in both qualitative and quantitative terms, the perceptions and assessments of the actors involved in the decentralization process. The specific data presented in this study is derived from three data sources. These sources are site council minutes, verbal responses to structured interviews, and written responses to the School Site-Based Management Survey.

Site council minutes provide the first source of specific data. One of the intentions of this project was to determine the level of participation site councils experienced in the decisionmaking process, and the School Based Management Participation Matrix was devised as a vehicle to plot the activities and actions of the site councils. The minutes of meetings were broken down into issues addressed, each issue forming an event on the matrix. These issues or events were then plotted within the categories of budget, personnel, curriculum, program, communication, social or other. Action taken on the issue was coded as either observe, discuss, advise, or decide.

Since the factor of time is an important consideration in process theory, and since time phases are also an integral part of the SBM Process General Model, the age of the site council was taken into account. In all situations studied, the age of the site council corresponded directly with the length of time the school had a SBM program. For points of reference, age categories were: less than 2 years; 2-4 years; more than four

years. A total of 78 site council minutes were examined for this study. Fifteen were from schools where the SBM program had existed for less than 2 years, 37 from schools where the program existed 2-4 years, and 26 from schools incorporating SBM more than 4 years. In several cases, depending on the date of the site council meeting, the same school site council could be contributing to more than one age category. As a final step, insightful characteristics, attributed to case study data, the wording of the site council minutes or from notes taken by an outside observer at the meetings, were assessed. These events were then analyzed in terms of which category and phase they would correspond to on the SBM Process Development General Model.

The second source of data contributing to this project came from structured interviews. Over the duration of this study two interview forms were used, the first of which took approximately 90 minutes to administer, the second, approximately 45 minutes. Although both forms asked specific questions, the questions were general enough to give the respondent plenty of freedom to answer openly. The coding of responses to the interviews was done in a three step process. First, the respondent was coded as to which stakeholder group they represented; second, they were coded as to the number of years involved in the SBM process, and third, the responses were assessed in terms of what insightful characteristics of information they contained to help determine where they might best fall on the SBM Process Development General Model. A total of 85 interviews were analyzed, 36 from teachers,

34 from administrators, and 15 from parent/community members.

The third source of data came from the qualitative responses given on the School Site Based Management Survey. The four questions requiring only written (non-numerical) responses and used in this project were 1. "List below some important changes brought about by SBM in your school(s)", 2. "What are the goals of the SBM program in your school(s)", 3. "What criteria do you use to assess the effectiveness of SBM - i.e. what does it have to do well for you to give it a 'high' or 'very high' grade?", 4. "What do you see to be the issues with SBM over the next year?" Responses were coded according to stakeholder group represented, length of time involved in the SBM process and any other insightful characteristics that could be determined. The responses were then assessed as to where they would fall on the SBM Process Development Model. A total of 92 surveys were coded, representing responses coming from 53 teachers, 9 administrators, and 30 parent/community representatives. The three combined data sources yielded 1467 data points.

SUMMARY OF DATA SOURCES

ADMINISTRATORS	N=43	9 SURVEY	34 INTERVIEW
TEACHERS	N=89	53 SURVEY	36 INTERVIEW
PARENT/COMMUNITY	N=45	30 SURVEY	15 INTERVIEW
TOTAL	N=177		

SITE COUNCIL MINUTES - SBM LESS THAN 2 YEARS OLD	N=15
SITE COUNCIL MINUTES - SBM 2-4 YEARS OLD	N=37
SITE COUNCIL MINUTES - SBM MORE THAN 4 YEARS OLD	N=26
TOTAL	N=78

Table 1

	MODEL EVENTS	INTERVIEW/SURVEY RESPONSES				SITE COUNCIL ACTIVITY			
		ADMIN	TEACH	PA/COMM	ALL	DECIDE	ADVISE	DISCUSS	OBSERVE
	COMMUNITY ACTION	0	0	0	0				
	DISTRICT ADMINISTRATION	13	6	2	21				
	DEMOGRAPHICS	1	0	0	1				
INPUT I	PERSONAL AGENDAS	13	0	0	13				
	STAFF	4	0	1	5				
	FINANCIAL RESOURCES	13	12	9	34				
	HISTORY	11	0	1	12				
	GOVERNMENTAL POLICY	0	0	0	0				
	CULTURAL VALUES	7	0	1	8				
	SCHOOL BOARD	12	4	3	19				
	DOCUMENTATION	3	2	2	7				
	DESIGN FOR SCHOOL	18	12	4	34				
	SITE COUNCIL DESIGN	20	10	12	42	5		1	
PROCESS I	TIME LINES	0	0	0	0				
	GOAL DEVELOPMENT	6	3	0	9			1	
	AUTHORITY TRANSFER PLAN	16	6	0	22				
	ROLE IDENTITY	24	6	19	49			1	
	CONTRACTUAL DISCUSSIONS	9	2	2	13				
	TEACHER REACTION	7	16	0	23				
	PRINCIPAL REACTION	17	1	0	18				
	DISTRICT OFFICE REACTION	7	1	6	14				
OUTPUT I	COMMUNITY REACTION	3	0	2	5				
INPUT II	AUTHORITY TRANSFER	7	8	2	17				
	COMMUNICATION	7	10	9	26			2	
	ROLE DEFINITION	21	16	7	44			1	
	TRAINING NEEDS	6	1	2	9				
	GOALS	14	9	12	35	1		2	
	SITE COUNCIL SELECTION	3	5	1	9	5		5	
	AGENDA DEVELOPMENT	1	5	2	8	4		1	
	GOAL DEVELOPMENT	2	4	1	7			3	
PROCESS II	ORGANIZATIONAL DEVELOPMENT	9	11	3	23	1		4	
	ROLE APPLICATION	11	10	12	33				
	TRAINING SESSIONS	5	3	1	9				
	REACTION	5	11	4	20				
	COMMUNICATION	8	16	9	33	3	1	4	
	MOTIVATION	3	13	1	17				
OUTPUT II	EVALUATION	8	9	3	20	1			
INPUT III	SITE COUNCIL PROCESS	5	3	0	8			1	
	COMMUNITY INVOLVEMENT	21	37	32	90	1		3	3
	GOALS	13	15	14	42	1		2	
	ATTRIBUTES	3	7	7	17	15	6	15	2
	DECISION CLARIFICATION	7	12	3	22	1		1	1
	SITE COUNCIL ACTIVITY	5	7	4	16	3	1	4	1
	AGENDA DEVELOPMENT	4	1	2	7			1	
PROCESS III	GOAL DEVELOPMENT	2	3	0	5			2	
	ORGANIZATIONAL DEVELOPMENT	6	10	4	20			3	
	ASSESSMENT	10	16	4	30				
	REACTION	0	1	1	2				
	COMMUNICATION	9	17	15	41	2		10	
	MOTIVATION	1	2	2	5			2	
OUTPUT III	PRODUCTIVITY	1	11	2	14			1	
INPUT IV	BUDGET	22	46	19	87	5	2	18	
	CURRICULUM	15	33	20	68		2	15	8
	PERSONNEL	8	14	8	30	2	1		1
	MANAGEMENT STRUCTURE	2	3	0	5				
	GOALS	6	25	9	40	1	1		
	ATTRIBUTES	4	18	13	35	4		20	4
PROCESS IV	SITE COUNCIL TURNOVER	2	5	0	7			2	
OUTPUT IV	ORGANIZATIONAL CLIMATE	3	0	0	3				
		463	498	292	1253	55	14	125	20

Table 2

FINDINGS

In answering the first proposition "The inability of the school organization to move from one developmental stage to another inhibits their ability to adapt change", one could argue that from the data collected, this proposition is not supported by evidence coming from either the interview/survey responses or the site council activity. If we are to assume that the developmental phases of the model represent the real passage of time, there is no direct evidence that activity diminishes over time or that issues become less intense. For example, interview/survey responses from Process I through Output I (Phase I) total 386. From Process II through Output II (Phase II) 336, and from Process III through Output III (Phase III) 427. (Only two categories from Phase IV contained responses - basically because this time extends beyond the period concerned in this study.) Site Council activities total 14 from Process I through Output I, 81 from Process II through Output II, and 117 from Process III through Output III.

From this general descriptive analysis, change appears to be taking place. The school organization has been made aware of a new idea, and information and/or feelings about it have been generated. Groups have been formed to address the new idea, and they meet regularly. Formal and informal organizational communication results and the process or idea continues to exist,

at least over the six year time period this study addresses. This in itself may not constitute the type of organizational change intended, but it can be stated that in at least some ways the organization is changed because of the introduction of the SBM concept.

The second proposition "Covert power issues intercede to impede the movement to successive developmental stages of a school organization's realization of organizational restructuring" makes the assumption that organizational restructuring progress is halted or diminished, and requires a more intricate analysis of the data. Findings from this study would tend to support this proposition for the following reasons: 1. it appears the innovation is attempted to be built into the organization without a proper blueprint or construction schedule; 2. lines of authority are not specifically acknowledged or understood; 3. training to operate the new program is lacking; 4. purpose is not clearly defined.

In responding to the first reason, this study shows that only seven responses were recorded from the interview/survey data that dealt with documentation (Process I). By definition, this documentation is "written proposals that have been accepted and form the basic foundational design of the innovation". (see exhibit A) It was also found that no activity at the site council level including "decide", "advise", "discuss", or "observe" was recorded that dealt with documentation. Several site councils addressed issues dealing with site council design, and five

decisions were recorded in this area, but no site council from this study specifically addressed documentation as it is defined.

In addressing the concept of time lines as they pertain to the implementation of this innovation, "a set of proposed future dates that represent intended targets for implementation of specific events", no responses were recorded from any of the three groups represented in interviews/survey, nor were any site council activities devoted to dealing with time lines. From these findings it might be deduced that either the reasons for implementation are unclear, unknown, or done without expectations for success, as information representing agreements or time lines for development is either ill-conceived or entirely absent from the minds of those participating in the process. One might ask how can a project be built when no one knows what they are building?!

In dealing with lines of authority, this study shows that initially, the administration was the most aware of an authority transfer plan (16 administrative responses indicated in Process I as opposed to 6 teacher responses and no community/parent responses). A leading question that must be generated from this data is "if basically only administrators were aware of an authority transfer plan, and since they held traditional power in the organization before the innovation came into being, how did they frame the idea of authority transfer to the other members of the organization?" It does appear that the construct of authority transfer is more equally shared in Output I, but at

this point it still appears that representatives of the parent/community group are basically without comprehension of this aspect. Finally, no action at any level - decide, advise, discuss, or observe - occurred in site council activity on authority transfer.

Findings to support the statement that training to operate the new program was lacking, are evidenced by the small number of respondents that referred to training needs in Output I (6 administrators, 1 teacher, and 2 parent/community) and the similarly small number that noted training sessions in Process II (5 administrators, 3 teachers, 1 parent/community). The findings also show that no site council activity centered on either training needs or training sessions. It appears that the idea of training for this new program was either felt as unnecessary or unsubstantiated. Since the implementation of SBM in the situations studied here was basically instituted as a top-down process, the highest level of management probably controlled and subsequently decided how much training was necessary for the program to grow. The lack of training appears to indicate that either information about the operation of the innovation was understood and therefore a non-issue, or, that training was limited or lacking so that only certain levels of outcomes would be obtained.

Finally, in questioning the clarity of purpose, findings show that initially site councils did deal with design characteristics (noted earlier) but goal development plans seemed

sorely lacking. Only 6 administrators, 3 teachers and zero parent/community noted goal development in Process I, and only 2 administrators, 4 teachers and 1 parent/community noted it in Process II. It is important to distinguish goal development from goals. By definition, goal development refers to goals associated specifically with the SBM process and/or the procedures to enable or hinder the acceptance of SBM; however goals are defined as "ideas accepted as visions for future accomplishments" and are of a more general nature not unlike normal goals established by any organization as intentions for future improvement. It appeared from the findings that establishing goals was no problem; the establishment of goal development was virtually nonexistent. Although this construct (goal development) appears in each of the three process phases, the combined responses was 21. The combined site council activities associated with goal development was 6 discuss events and no decide, advise or observe events. Again, it appears that the issues surrounding structural change were not dealt with, at least from a planning perspective in this finding.

The three events listed on the Model that deal with roles, namely role identity (Process I), role definition (Output I), and role application (Process II), provide an interesting sideline to this discussion. Findings show considerable response on the interview and survey to the ideas associated with roles (total role responses = 126) indicating an apparent awareness of role change or expectation. However, findings from site council

activity show only (2 discuss, no decide, advise or observe) to the same three role associated events, leading one to conclude that this awareness was not transferred into specific behavioral constructs.

Specifics as to how covert power issues interceded to impede the movement to successive developmental stages of a school organization's realization of organizational restructuring may be beyond the scope of this study, but if one conclusion can be drawn from the findings just presented, it is that an inequality of information and power appeared to exist throughout the duration of this process, and the movement to advance organizationally may have been halted before it even began.

Proposition three states that individuals in school organizations, regardless of their hierarchical position, tend to resist change. This study did not provide conclusive evidence to support or reject this proposition, but tended to lean more toward supporting it. Data relating to proposition 2 described earlier, might also be used to build a case for administrative reluctance for change. Since the innovations were instituted in a top-down fashion, the training, delegation, and information was basically controlled by the administration. Findings already presented have shown the striking lack of awareness of documentation, authority transfer and training. What cannot be judged by this study is how much effect this had on the general failure of those in the lower levels of the organization to strive to achieve greater change.

One finding not visible in the numbers presented in Table 2 is the unusual categorization of responses given to the final question on the survey instrument which asked: "What do you see to be the issues with SBM over the next year?" Over half of the responses from teachers and parent/community members that had been involved in SBM for more than three years mentioned events that fell into the first phase of the Model, in particular, role identity, role definition, and design for school. It appeared that these people had some question as to what was supposed to be happening and sensed something was wrong. On the surface this reversion to the earlier phase of development might appear to indicate a reluctance to change; but if, as one principal was quoted as saying, "they've had their noses burned" indications are that other factors interceded to impeded a desire to change.

The final proposition, "The activities of the site councils tend to be observational and discussional rather than advisory and decisional" is adequately supported by the findings of this study. Table 2 notes that of the 78 site council meetings observed, only 55 decisions were obtained, generally less than 1 per meeting. Considering that the average site council has 8-12 members present at each meeting, this could be considered a relatively small output for the number of hours involved.

Clarification on the types of decisions also needs to be noted. Cumulative totals from the four areas that quite possibly represent the biggest effect on organizational change, show the following decide figures: 5 on budget; 2 on personnel; zero on

curriculum, and 5 on communication. The total issues decided and coded as attributes was 19. These events tended to be the results of issues confined to the individual schools and pertained to such items as discipline procedures, attendance policies, lunchroom schedules, and even items as mundane as the type of soft drinks to have available in the staff lounge. Although it is difficult to know if these same issues and decisions would have been generated without the existence of a site council, these decisions were recorded at site council meetings.

Some rather glaring inconsistencies appeared to be emerging in site council decision activity. Site council decisionmaking appears to peak in the second phase (31 decisions) and diminish considerably in the third phase (18 decisions). At the same time the site council appears to be assuming a more discussional role with 77 issues culminating at the discussional stage in the third phase as opposed to only 38 issues in the second phase. This reverting from a decisional role to a discussional role on the part of the site council could indicate a reluctance on the part of personnel associated with the school to follow through with the idea that the site council should be a decisionmaking body.

Only 14 events were coded as advise events, of which 6 dealt with issues surrounding budget, curriculum, personnel or communication. Clearly, the site council assumed a discussional role with a total of 125 events falling into this classification. Additionally, 20 events were coded as observe, that is, they listened to a presentation, did not discuss it or take action on

it. Not noted on the table, 183 announcements were delivered at the 78 site councils meetings included in this study. It appeared that the site council meetings were a place where information was shared, discussion ensued, but serious decisionmaking was generally avoided.

CONCLUSIONS

The eventual outcome or assessment criteria of a well designed process model must be its applicability. To achieve this criteria, this model was designed to include the integral components for answering these three questions: 1) does it include all the relevant characteristics associated with the process? 2) is the time frame outlined in the model appropriate? and 3) can it be used to judge whether or not the process it is tracking is working, and if so, how? This last question potentially holds the key for process modelling, because it is here that a process model can unlock findings that otherwise might have been unanticipated and even unintended.

The initial finding most relevant to this project is that the School Based Management Process Development Model did seem to provide a reasonable method of cataloging information about a program that takes time to implement and become integrated into educational organizations. Allowing for future refinements of this model, using this process model to track and eventually

assess the progress of SBM, definitely has merit.

The limitations of a model designed to show process development needs to be noted. Paramount in any qualitative study is the application of constructs. Unless constructs are universally understood throughout the study and share a collective recognizability by both respondent and researcher, bias and/or misconstructions are apt to occur. Additionally, the passage of time can serve as both a help and a hinderance; a help in identification as issues slowly evolve, yet a hinderance as meanings change.

From a perhaps crude, yet microscopic view of two school districts that appeared to have a fair amount of success implementing school based management, this study has shown that the constructs constituting school based management are quite far from being universally understood. Does SBM mean organizational structural change, authority transfer, or increased stakeholder decisionmaking? This process model study takes a bold step by saying that little or nothing was done to capture the essence of these issues inherent in school based management and use them to bring about significant change - at least in the six year time period and at the locations from which this data was gathered.

EXHIBIT A

General Description and Definition of Terms Used in the SBM Process Development General Model

This exhibit will outline the foundational concepts of the SBM Process Development General Model and define the terms appearing in the model as they relate to the developmental stages of implementing School Based Management.

Purpose of Model

This model attempts to outline the developmental process of School Based Management and is intended to illustrate the ongoing factors that influence the implementation process.

Categories and Time Line

The four chronological phases this model encompasses are indicative of the implementation process, and do not imply specific periods of time nor are the individual phases specifically terminal. As in many developmental processes, the times and phases are intermeshed with each other and the occurrence of specific events will necessitate considerable flexing of the time line. As noted, all times are approximate.

General Design

The design of this model is basically fashioned around a three step process where inputs at each stage influence the developmental process which in turn produces outputs which become inputs for the next developmental stage. Throughout the model, the inputs, process, and outputs can be described in terms of five key elements that have been shown to provide a useful framework for tracking innovations. The five elements are People, Ideas, Transactions, Context, and Outcomes.

Definition of Terms

Please note: Although many of the following terms have universal meanings, effort has been made to relate the terms to the specific phase it is associated with in the SBM Process Development General Model.

EXHIBIT A

INPUT I

Community Action - compelling factors or issues that arise from the general population served by the school.

District Administration - the school district's central office and/or power exerted by the district administration.

Demographics - geographic and population characteristics unique to a given area.

Personal Agendas - strong individual advocate(s) representing positions or ideals that attempt to influence decisions within the school or district. Personal agendas also provide motivation for individual or group action.

Staff - school district employees, both certified and classified.

Financial Resources - sources of funding available to the school or school district.

History - the contextual factors within a setting that reflect past events; the sequence of past events that have influenced a school or school district's current state of affairs.

Governmental Policy - influences / mandates imposed upon the school or district by Federal, state or local policy decision makers.

Cultural Values - those elements held in high esteem by a specific social group. Often these elements have their basis in historical settings.

EXHIBIT A

PROCESS I

School Board - the action or role assumed by the local school district's governing body to initiate formal implementation of the innovation.

Documentation - written proposals that have been accepted and form the basic foundational design of the innovation.

Design for the School - the accepted proposal that pertains to a particular site.

Site Council Design - the design including size, make-up and responsibility of the future site council.

Time Lines - a set of proposed future dates that represent intended targets for implementation of specific events.

Goal Development - school or district goals that have long or short term effects on the SBM process; also, the procedures used to enable or hinder the acceptance of ideas for future objectives of SBM.

Authority Transfer Plan - those specific planned ideas that represent actual change in the organization's established authority structure.

Role Identity - those changes in individual or organized inner group norms that represent a new function to accomplish the needs of the innovation.

Contractual Discussions - those proposals and/or resulting agreements between the governing body and the labor organizations that describe the changes in role functions in order to facilitate implementation of the innovation.

EXHIBIT A

OUTPUT - INPUT I-II

Teacher reaction - positive, neutral, or negative responses by individual or specific groups of teachers to the expressed goals or perceived intentions of the innovation.

Principal reaction - positive, neutral, or negative responses by principals to the expressed goals or perceived intentions of the innovation.

District office reaction - positive, neutral, or negative responses by authoritative central office staff to the expressed goals or perceived intentions of the innovation.

Community reaction - positive, neutral, or negative responses by community groups or individuals to the expressed goals or perceived intentions of the innovation.

Authority Transfer - actual change in roles that represent formal change in authority structure and responsibility.

Communication - specifically, circulated documents or messages that pertain to activities associated with the innovation. Generally, observable trends in formal and informal organizational communication.

Role Definition - clarification in role responsibility that may represent new expectations for individuals or groups.

Training Needs - identification of the necessary skills that will prepare individuals for the intentions and expectations associated with the innovation.

Goals - ideas accepted as visions for future accomplishments.

EXHIBIT A

PROCESS II

Site Council Selection - procedures used to choose personnel to serve as members of the site council.

Agenda Development - generally, the procedures used to establish agendas for site council discussion and action. Specifically, the process by which the agenda is set and/or used to effect the ongoing activities of the decision making groups.

Goal Development - school or district goals that have long or short term effects on the SBM process; also, the procedures used to enable or hinder the acceptance of ideas for future objectives of SBM.

Organizational Development - refinement of structural change within the organization that resembles or differentiates from SBM ideals.

Role Application - individual or group incorporation of the expectations associated with the innovation.

Training Sessions - organized inservicing of personnel to meet the performance expectations associated with the innovation.

EXHIBIT A

OUTPUT - INPUT II-III

Reaction - positive, neutral, or negative responses by administration, staff or community to the ongoing activities and expectations associated with the innovation.

Communication - specifically, circulated documents or messages that pertain to activities associated with the innovation. Generally, observable trends in formal and informal organizational communication.

Motivation - observable indicators of changes in individual attitudes toward job responsibilities.

Evaluation - procedures or activities established or attempted to measure effectiveness of ideas or events associated with the innovation.

Site Council Process - general working activities that represent the status quo or general operating procedures of the site or activity councils.

Community Involvement - specifically, responses of the community toward the ongoing development of the innovation. Generally, activities or ideals resulting from the innovation and aimed toward community action.

Goals - ideas accepted as visions for future accomplishments.

Attributes - all other organizational characteristics, policies, or outcomes attributed to or resulting from the SBM process.

EXHIBIT A

PROCESS III

Decision Clarification - pertains to an adopted method or set of criteria that delineates responsibility in the decisionmaking process.

Site Council Activity - ongoing, routine, or specific actions that identify the accomplishments of the site council.

Agenda Development - generally, the procedures used to establish agendas for site and advisory council discussions and decisions. Specifically, the process by which the agenda is set and/or used to effect the ongoing activities of the decisionmaking groups.

Goal Development - school or district goals that have long or short term effects on the SBM process; also, the procedures used to enable or hinder the acceptance of ideas for future objectives of SBM.

Organizational Development - refinement of structural change within the organization that resembles or differentiates from SBM ideals.

Assessment - the process of self-evaluation within the organization to judge if prior goals and innovative intentions are being met.

EXHIBIT A

OUTPUT - INPUT III-IV

Reaction - positive, neutral, or negative responses by administration, staff or community to the ongoing activities and expectations associated with the innovation.

Communication - specifically, circulated documents or messages that pertain to activities associated with the innovation. Generally, observable trends in formal and informal organizational communication.

Motivation - observable indicators of individual attitudes and efforts toward job responsibilities.

Productivity - outputs from individuals and/or organizational groups that would indicate some standard of accomplishment of or lack there of.

Budget - restrictions and/or responsibilities held by various groups or individuals empowered to make budgetary decisions.

Curriculum - restrictions and/or responsibilities held by various groups or individuals empowered to make curriculum decisions.

Personnel - restrictions and/or responsibilities held by various groups or individuals empowered to make personnel decisions.

Management structure - the system set up to accommodate the management and decisionmaking needs of the organization, including but not limited to power bases, influence, decision responsibility, etc. as it pursues the adoption of SBM.

Goals - ideas accepted as visions for future accomplishments.

Attributes - other organizational characteristics, policies, or outcomes attributed to or resulting from the SBM process.

EXHIBIT A

PROCESS IV

Site council turnover - the rate and reasons for personnel changes in site council.

Training / Retraining - tools and systems used to meet the needs of new and experienced personnel to function efficiently within the context of the SBM philosophy.

Agenda development - generally, the procedures used to establish agendas for site and advisory council discussion and decisions. Specifically, the process by which the agenda is set and/or used to effect the ongoing activities of the decisionmaking groups.

Goal development - school or district goals that have long or short term effects on the SBM process; also, the procedures used to enable or hinder the acceptance of ideas for future objectives of SBM.

Organizational development - refinement of structural change within the organization that resembles or differentiates from SBM ideals.

Ongoing assessment - the continuous process of self-evaluation within the organization to judge if prior goals and innovative intentions are being met.

EXHIBIT A

OUTPUT IV

Student outcomes - measurable or otherwise expressible indicators of student achievement that can be directly related to the SBM innovation.

Reaction - positive, neutral, or negative responses by administration, staff or community to the ongoing activities and expectations associated with the innovation.

Community support - the ongoing interest and input of the community (non-school related personnel) into the decisionmaking processes and general operating procedures of the school or school district. Also, the degree to which this support is acknowledged by the school.

Management Reproduction - a situation wherein the management structure is bonded with the ideals of the innovation and is basically unaffected by individualism.

Organizational climate - characteristics of the organizational environment that can be attributed to the adoption of SBM.

Maturation - the process by which the innovation extends through time and adapts to the needs of the organization.

Goals - ideas accepted as visions for future accomplishments.

Attributes - all other organizational characteristics, policies, or outcomes attributed to or resulting from the SBM process.

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